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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/007,750	11/13/2001	Olivier Hericourt	FR920000073US1	4960

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EXAMINER	
ABYANEH, ALI S	

ART UNIT	PAPER NUMBER
2137	

DATE MAILED: 11/02/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	10/007,750	HERICOURT ET AL.	
	Examiner	Art Unit	
	Ali S. Abyaneh	2137	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *20 July 2005*.

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-9* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-9* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *13 November 2001* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

DETAILED ACTION

1. Claims 1-9 are pending.

Response to Arguments

2. Applicant's arguments filed 07-20-2005 have been fully considered but they are not persuasive.

Applicant contends that Van Oorschot does not teach **a table comprising a certificate authority filter.** Examiner respectfully disagrees. Van Oorschort discloses a directory containing certification authority trust data of all certificate issuing unit as well as authority revocation lists and certificate revocation lists (see column 6, lines 60-65). It is clear that the directory 302 disclosed by Van Oorschort contains a list (table) for the trusted CAs and a list (table) for untrusted CAs . Therefore Van Oorschort teaches a table comprising a Certificate Authority filter.

In response to applicant's argument that the references fail to show certain features of applicant's invention, it is noted that the features upon which applicant relies (i.e., "**there are no relationship among the certificate authority filters in these tables**") are not recited in the rejected claim(s). Although the claims are interpreted in light of the specification, limitations from the specification are not read into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993).

Applicant contends that **Van Oorschot does not mention discarding the certificate**. Examiner respectfully disagrees. Van Oorschot teaches a list of revoked certificate (see column 6, lines 31-32). It is obvious by an ordinary skill in the art that the Van Oorschot's intent of revoking a certificate is to eliminate, void or disable the certificate, which is similar to discarding the certificate. Both revoking and discarding the certificate would eliminate the further use of the certificate. Therefor Van Oorschot teaches discarding the certificate.

Applicant contends that Van Oorschot does not **teach a table comprising a public key** and **the table thought by Van Oorschot does not contain certificate themselves or public key associated with the certificates**. Examiner respectfully disagrees. Firstly Van Oorschot teaches a table which includes public key and public key associated with certificate (see column 5, lines 4-13). Secondly Van Oorschot discloses a directory, which is similar to directory X.509 and it is well known in the art that directory X.509 contains public keys (see column 6, lines 19-24). Thirdly Van Oorschot clearly teaches a table-containing certificate themselves (see column 9, lines 15-17). Lastly Van Oorschot teaches obtaining the certificates from the directory 302 (table) and this clearly shows the existence of the certificates in the directory (table) (see paragraph 9, lines 10-15).

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-9 are rejected under 35 U.S.C. 102(e) as being anticipated Paul C. Van Oorschot et al. (US Patent NO. 6,134,550)

Regarding Claim 1

Van Oorschot teaches a method for filtering certificates issued from one or more certificate authorities (CA), the method comprising the steps of: receiving a certificate and storing the certificate (column 9, lines 27); preventing use of the certificate until validation (column 1, lines 50-55); identifying a certificate authority that has issued the certificate (column 5, lines 7-14); identifying a certificate authority filter by referring to a table, that comprises identification of at least one certificate authority filter(column4, lines 52-62); sending a request to the identified certificate authority filter (column 5, lines 14-17); receiving from the certificate authority filter a response to the request, the response comprising information related to the certificate authority that has issued the certificate and a public key of the certificate authority that has issued the certificate (column 5, lines 4-23); determining according to the response whether the certificate authority is a trusted certificate authority; and validating the certificate if the

certificate authority that has issued the certificate is a trusted certificate authority (column 5, lines 14-25)..

Regarding Claim 2

Van Oorschot teaches all limitation of the claim as applied to claim 1 above and furthermore he teaches a method comprising the step of: discarding the certificate if the response indicates that the certificate authority that has issued the certificate is not a trusted certificate authority (column 8, lines 13-22).

Regarding Claim 3

Van Oorschot teaches all limitation of the claim as applied to claim 1 above and furthermore he teaches a method, wherein the step of identifying the certificate authority that has issued the certificate comprises the further step of: retrieving an identification of the certificate authority from the certificate (column 2, lines 26-28 and column 5, lines lines 4-13).

Regarding Claim 4

Van Oorschot teaches all limitation of the claim as applied to claim 1 above and furthermore he teaches a method, wherein the step of sending a request to the identified certificate authority filter comprises the further step of:

including in said request an identification of the certificate authority that has issued the certificate (column 5, lines 7-13).

Regarding Claim 5

Van Oorschot teaches all limitation of the claim as applied to claim 1 above and furthermore he teaches a method, wherein the response received from the certificate authority filter comprises a level of trust assigned to the certificate authority, and wherein the step of determining according to the response whether the certificate authority is a trusted certificate authority comprises the further step of: checking whether the level of trust assigned to the certificate authority corresponds to a level of trust of a trusted certificate authority (column2, lines 8-19) .

Regarding Claim 6

Van Oorschot teaches all limitation of the claim as applied to claim 1 above and furthermore he teaches a method, wherein the step of validating the certificate comprises the further steps of: comparing the public key included in the response received from the certificate authority filter with a public key included in a response from a second certificate authority filter; and validating the certificate if the public key included in the response received from the certificate authority filter is the same as the public key received in the response from the second certificate authority filter (column2, lines 8-19).

Regarding Claim 7

Van Oorschot teaches a method, in a certificate authority filter connected to a network, for filtering certificates issued from one or more certificate authorities, the method comprising the steps of: receiving a request comprising an identification of a certificate authority; identifying the certificate authority in said request (column 5, lines 14-25); finding in a table the certificate authority, the table comprising: identification of at least one certificate authority and a level of trust and a public key associated with each of said at least one certificate((column 5, lines 4-13)(examiner considers certificate chain data as applicant's table)) ; determining a level of trust of the identified certificate authority referring to said table ((column 5, lines 62-67)(examiner considers degree of trust as applicant's level of trust)); retrieving a public key associated with the identified certificate authority referring to said table (column 2, lines 8-23); and sending a response to an originator of the request (column 6, lines 1-12), said response comprising the level of trust of the identified certificate authority and the public key associated with the identified certificate authority (column 5, lines 4-13 and 63-67) .

Regarding Claim 8

Van Oorschot teaches all limitation of the claim as applied to claim 7 above and furthermore he teaches a method wherein said request further comprises an identification of a destination entity (column 5, lines 4-13)(examiner

considers target certification authority as applicant's destination entity).

Regarding Claim 9

Van Oorschot teaches all limitation of the claim as applied to claim 8 above and furthermore he teaches a method, wherein: the table further includes, associated with the certificate authority, the destination entity and a level of trust associated with the destination entity; and wherein the step of determining the level of trust further includes the step of determining the level of trust associated with the destination entity by referring to the table (column 11, lines 24-49 and column 5, lines 62-67).

Conclusion

5. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

EMMANUEL L. MOISE
SUPERVISORY PATENT EXAMINER

Ali Abyaneh A.A
Patent Examiner
Art Unit 2137
10-26-05